



GAU 2131 H4

Attorney Docket No.: 124521-1000

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

04 CO  
08-24-01

In re Application of: M. Russell Merchen

Serial No.: 09/837,884

Filing Date: April 18, 2001

Examiner: not assigned yet

Art Unit: 2131

For: METHOD AND SYSTEM FOR AUTHORIZING AND CERTIFYING  
ELECTRONIC TRANSFER

Assistant Commissioner for Patents  
Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT

As listed on the accompanying form PTO-1449, submitted herewith are copies of the indicated references which applicant believes may be material to the examination of the above-identified application, and in respect of which there may be a duty to disclose in accordance with 37 CFR §1.56.

The filing of this information disclosure statement shall not be construed as a representation that a search has been made, an admission that the information cited is, or is considered to be, material to patentability, or that no other material information exists. Further, the filing of this information disclosure statement shall not be construed as an admission against interest in any manner. Written notification that the enclosed references have been considered in their entirety by return of a copy of the enclosed form, completed by the Examiner, is respectfully requested.

IDENTIFICATION OF TIME OF FILING THE  
INFORMATION DISCLOSURE STATEMENT

- ☐ This Information Disclosure Statement is being filed within three months of the filing date of the national application.
- ☐ This Information Disclosure Statement is being filed within three months of the date of entry of the national stage as set forth in §1.491 in an international application.

☒ This Information Disclosure Statement is being filed before the mailing date of the First Office Action on the merits.

☐ This Information Disclosure Statement is being filed after three months of the filing date of the national application or after three months of the date of entry of the national stage as set forth in § 1.491 in an international application or after the mailing date of the first Office Action on the merits, but before the mailing date of either a final action under § 1.113 or a notice of allowance under § 1.311, or an action that otherwise closes prosecution in the application.

Accompanying this transmittal is:

☐ a statement specified in 37 CFR § 1.97(e); or

☐ a fee set forth in 37 CFR § 1.17(p)

☐ This Information Disclosure Statement is being filed after the mailing date of a final action under § 1.113, or a notice of allowance under § 1.311 but before the payment of the issue fee.

Accompanying this transmittal is:

1. a statement as specified in 37 CFR § 1.97(e); and

2. a fee set forth in 37 CFR § 1.17(p)

STATEMENT FOR INFORMATION DISCLOSURE STATEMENT 37 CFR 1.97(e)  
(Only if Required Above)

I, the person(s) signing below hereby states that:

☐ each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. 37 CFR § 1.97(e)(1); or

☐ no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in the counterpart foreign application to the knowledge of the person signing the certification after making reasonably inquiry, no item of information contained in the information disclosure statement was known to any individual designated in § 1.56(c) more than three months prior to the filing of the information disclosure statement. 37 CFR § 1.97(e)(2).

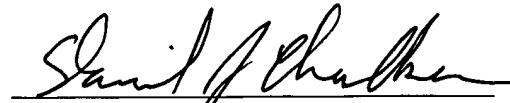
FEE PAYMENT

[ ] attached is a check in the amount of \$ \_\_\_\_\_

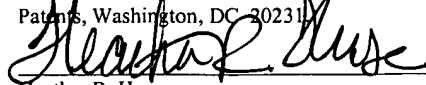
[ ] charge Deposit Account No. 07-0153  
in the amount \$ \_\_\_\_\_

**A duplicate of this request is attached.** Applicant believes no additional fees are due for the filing of this IDS. However, if any additional fees are due, or any overpayments have been made, please charge, or credit, Deposit Account No. 07-0153.

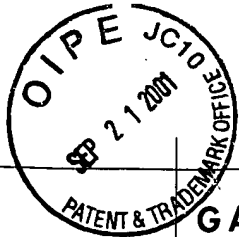
Dated: 9/17/2001

  
Daniel J. Chalker  
Attorney for Applicant and Assignee  
Registration No.: 40,552

Gardere Wynne Sewell LLP  
3000 Thanksgiving Tower  
1601 Elm Street  
Dallas, TX 75201-4761  
(214) 999-4785  
(214) 999-3785 (FAX)

<p style="text-align: center;">CERTIFICATE OF MAILING</p> <p>Date of Deposit: 9/17/01</p> <p>I hereby certify that the papers listed below and attached hereto are being deposited with the United States Postal Service via First Class Mail service under 37 C.F.R. 1.8 on the date indicated above and, addressed to: Assistant Commissioner for Patents, Washington, DC 20231.</p> <p> Heather R. Huse</p>
--

DALLAS 1043743v1



**GARDERE**

attorneys and counselors ■ [www.gardere.com](http://www.gardere.com)

Writer's Direct Dial 214-999-4785  
Direct Fax 214-999-3785  
[dchalker@gardere.com](mailto:dchalker@gardere.com)

#14

September 17, 2001

Commissioner for Patents  
Washington, D.C. 20231

Re: Patent Application "METHOD AND SYSTEM FOR AUTHORIZING AND  
CERTIFYING ELECTRONIC DATA TRANSFERS"

Application No.: 09/275,758  
Filing Date: April 18, 2001  
Our File No.: 124521-1000

Dear Sir:

Enclosed for filing in connection with the above-referenced patent application are the following documents:

1. Information Disclosure Statement;
2. PTO Form-1449 & (14) References; and
3. Return postcard.

Please file the above-referenced document and return the date-stamped postcard to our office at the above address. It is believed that no additional fees are due. If this is incorrect, the Commissioner is hereby authorized to charge any fees due which may be required by this paper to Deposit Account No. 07-0153.

In the meantime, if you have any questions or comments concerning any of the above, please call the undersigned at your convenience. Otherwise, please accept the enclosed.

Respectfully submitted,  
Gardere Wynne Sewell LLP

Daniel J. Chalker  
Registration No.: 40,522  
DJC/hh

Enclosures

DALLAS 1043864v1

#4

Sheet 1 of 1

FORM PTO-1449  
(REV. 7.80)

 LIST OF PRIOR ART CITED BY APPLICANT  
(Use separate sheets if necessary)
U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO. 124521-1000

SERIAL NO.: 09/837,884

APPLICANT  
Russell Merchen

FILING DATE: 4/18/01

GROUP: 2131

## U. S. PATENT DOCUMENTS

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (if appropriate)
	5,022,080	6-4-91	Durst et al.	380	23	4-16-90
	5,339,361	8-16-94	Schwalm et al.	380	23	12-4-92
	5,528,021	6-18-96	Lassus et al.	235	380	6-14-93
	5,615,268	3-25-97	Bisbee et al.	380	25	1-17-95
	5,671,282	9-23-97	Wolff et al.	380	25	1-23-95
	5,737,539	4-7-98	Edelson et al.	395	203	10-28-94
	5,748,738	5-5-98	Bisbee et al.	380	25	9-15-95
	5,845,255	12-1-98	Mayaud	705	3	10-2-97
	5,883,370	3-16-99	Walker et al.	235	375	6-5-96
	5,982,506	11-9-99	Kara	358	405	9-10-96
	6,021,202	2-1-00	Anderson et al.	380	25	12-19-97
	6,158,003	12-5-00	Kara	713	168	3-1-99
	6,182,219 B1	1-30-01	Feldbau et al.	713	176	8-27-96
	6,185,683 B1	2-6-01	Ginter et al.	713	176	12-28-98

## FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLAS S	TRANSLATION	
						YES	NO

OTHER PRIOR ART (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER:

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.